



State of Tennessee Department of Children's Services

## **Administrative Policies and Procedures: 1.28**

---

**Subject: Program Audit Process and Monitoring  
Inspections For Youth Development Centers and  
DCS Group Homes**

**Supersedes:** DCS 1.28, 01/01/04    **Local Policy:** No  
**Local Procedures:** No  
**Training Required:** No  
**Applicable Practice Model Standard(s):** Yes

**Approved by:**

**Effective date:** 10/01/00

**Revision date:** 07/01/05

### **Application**

To All Department of Children's Services Departmental Treatment Facility Employees  
And Quality Assurance Employees.

**Authority:** TCA 37-5-106

### **Policy**

Program audits and monitoring inspections will be conducted for all Youth Development Centers and DCS Group Homes that will identify, assess and report quality of life, overall agency operations and compliance with applicable laws, departmental policies and procedures, DCS Standards of Professional Practice and the American Correctional Association standards.

### **Procedures**

**A. Schedule and  
notification of the  
program audit**

1. The Program Coordinator for American Correctional Association (ACA) audits will prepare a preliminary schedule of audits for the fiscal year that will be forwarded to each Youth Development Center Superintendent/designee, by June 30<sup>th</sup> of each year.
2. It will be the responsibility of the Program Coordinator for ACA audits to notify each Youth Development Center Superintendent of the expected dates of the audit at least

two (2) weeks prior to the scheduled audit.

**B. Responsibilities  
of the audit team  
leader prior to a  
scheduled audit**

1. The Program Coordinator for ACA Audits will function as the audit team leader and coordinate all arrangements regarding the audit process including, but not limited to:
  - a) Making in-state lodging reservations
  - b) Arranging transportation to facility
  - c) Selecting an audit team from DCS staff
  - d) Assembling audit documents
  - e) Notifying the facility of the dates and times of the audit
2. The audit team members must consist of knowledgeable and qualified staff representing the various departmental divisions and functions.
3. Team members who have a known conflict with the date(s) assigned must contact the Program Coordinator for ACA Audits to make alternate arrangements as soon as possible.

**C. Program audit  
process**

1. Upon arrival at the DCS facility, the audit team will meet with the Youth Development Center Superintendent and other appropriate staff to discuss the scope of the audit activities.
2. All documentation for the audit team to review will be clearly referenced and easily accessible.
3. The Program Coordinator for ACA Audits will be responsible for making audit assignments to be monitored by the audit team members.
4. During the audit, the audit team will:
  - a) Tour the facility for a visual inspection of program operations;
  - b) Review compliance documentation and other pertinent information for auditing purposes;
  - c) Interview staff and youth; and

d) Assess quality of life of youth housed in DCS facilities.

5. At the conclusion of the audit, the Program Coordinator for ACA Audits will conduct an exit conference with the Youth Development Center Superintendent other appropriate staff to discuss the results and findings of the audit and will ensure that all data has been gathered and collected for the purpose of reporting.

**D. Inspection  
guidelines/  
monitoring  
instruments for  
YDCs and DCS  
Group Homes**

1. It will be the responsibility of the Office of Inspector General to manage the development and review of the compliance inspection instruments.
2. Audit instruments/ techniques will be developed according to the following guidelines:
  - a) Objective criteria for measuring compliance
  - b) Areas audited must be for compliance with ACA standards, DCS policy and Procedures, DCS Standards of Professional Practice or other authority, i.e., Department of Personnel or Finance and Administration and Department of Health guidelines.
  - c) Measurement of compliance documentation will be *compliant* or *non-compliant* with 90 percent or better of a statistically significant sample being considered as compliant.
  - d) At Youth Development Centers all mandatory standards associated with ACA accreditation standards will be reviewed with 100% compliance required to pass the program audit.
  - e) Policy compliance instruments will be disseminated to the facility being audited by the Program Coordinator for ACA Audits at least one (1) month prior to the audit.

**E. Audit reports**

1. After the audit has been conducted and completed, the Program Coordinator for ACA Audits will:
  - a) Compile all comments and data into a report within fifteen (15) working days after the audit.
  - b) Forward the preliminary report to the Inspector General

pending the facility's response to any findings.

- c) Forward copies of the initial report to the appropriate facility superintendent and the Executive Director of Juvenile Justice.
  - d) Upon receipt of the report, the Youth Development Center Superintendent will have fifteen (15) working days to respond to any findings.
2. The final report, including the responses from the Youth Development Center Superintendent will be forwarded to the Inspector General who will forward the report to the Commissioner for review. Additional copies of the final report will be forwarded as follows:
- a) Executive Director, Juvenile Justice Programs
  - b) Deputy Commissioner, Juvenile Justice Programs
  - c) Other pertinent staff and persons, including, but not limited to:
    - ◆ Director of Medical and Behavioral Services
    - ◆ Director of Food Services
    - ◆ Director of Internal Audit

## **Forms**

None

## **Collateral Documents**

*DCS/OIG Monitoring Instruments*

## **Standards**

3-JCRF-1A-15

3-JTS-1A-23

DCS Practice Model Standard – 8-306